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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 23540-09582 |
| INTERNATIONAL APPLICATION NO. PCT/US2004/035295 | | U.S. APPLICATION NO. (If known, see 37 CFR 1.55) Not Yet Assigned |
| INTERNATIONAL FILING DATE 22 October 2004 (22/10/04) | | PRIORITY DATE CLAIMED 22 October 2003 (22/10/03) |
| TITLE OF INVENTION Methods for Preparing and Functionalizing Nanoparticles | | |
| APPLICANT(S) FOR DO/EO/US Bing Guo, Ian M. Kennedy, Dosi Dosev, Darina Melnikov and Mikaela Nichkova | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 20 below concern document(s) or information included: | | |
| 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet Under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) Not Yet Assigned 10/576776 | | INTERNATIONAL APPLICATION NO. PCT/US2004/035295 | | ATTORNEY'S DOCKET NUMBER 23540-09582 | |
| 20. <input checked="" type="checkbox"/> Other items or information: A copy of the Article 34 Amendment | | | | | |
| The following fees have been submitted | | | | CALCULATIONS PTO USE ONLY | |
| 21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... | | | | \$300 | |
| 22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by the IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... | | | | \$0 | |
| All other situations | | | | \$200 | |
| 23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... | | | | \$0 | |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority | | | | \$100 | |
| International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... | | | | \$400 | |
| All other situations | | | | \$500 | |
| Total of 21, 22 and 23 = | | | | \$300 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| 34 - 100 = | 0/50 = | 0 | X \$250 | \$0 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 35 - 20 = | 15 | x \$50 | \$ | |
| Independent claims | 8 - 3 = | 5 | x \$200 | \$ | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) 6 | | | + \$360 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$300 | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | | | \$150 | |
| SUBTOTAL = | | | | \$150 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | | | 0 | |
| | | | | + | |
| TOTAL NATIONAL FEE = | | | | \$ | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | n/a | |
| | | | | + | |
| TOTAL FEES ENCLOSED = | | | | \$ | |
| | | | | Amount to be refunded: | |
| | | | | Amount to be charged: | \$150 |

10/576776

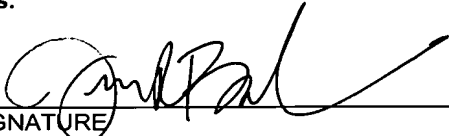
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- a. ☐ A check in the amount of \$ ____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 19-2555 in the amount of \$150 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-2555. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Jennifer R. Bush
Fenwick & West LLP
Silicon Valley Center
801 California Street
Mountain View, CA 94041
(650) 335-7213
(650) 938-5200


SIGNATURE
Jennifer R. Bush
NAME:
50,784
REGISTRATION NUMBER:

TRANSMITTAL LETTER TO THE
UNITED STATES RECEIVING OFFICE


| | |
|----------------------------|--------------------|
| 35 U.S.C. §371 Filing Date | Even Date Herewith |
| U.S. Application No. | Not Yet Assigned |
| Attorney Docket No. | 23540-09582 |

I. ☒ Certificate of Mailing

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| EV442656969US |
| Express Mail Mailing Number (optional) |

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| 20 April 2006 |
| Date |

I hereby certify that this correspondence, including the enclosures identified below, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents & Trademarks, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown above. If the Express Mail Mailing Number is filled in above, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

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|---|
|  |
| Signature |

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|-----------------------|
| Jennifer R. Bush |
| Typed or printed name |

II. ☐ New International Application

| | |
|-------|--|
| TITLE | |
|-------|--|

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|--|
| Earliest priority date (Day/Month/Year) |
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SCREENING DISCLOSURE INFORMATION: In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☐ The invention disclosed was **not** made in the United States.
 B. ☐ There is no prior U.S. application relating to this invention.
 C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application.

(NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority)

| | | | |
|-----------------|--|-------------|--|
| application no. | | filing date | |
| application no. | | filing date | |

- D. ☐ For foreign filing licenses purposes, the present international application ☐ contains the same subject matter as ☐ contains less subject matter than, that found in the prior U.S. application(s) identified in paragraph C above.

- E. ☐ The present international application ☐ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C above. The additional subject matter is found on pages
 and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15.

III. ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response
 B. ☐ A Power of Attorney (General or Regular) (2)
 C. ☐ Replacement pages:

| | | | | | |
|-------|--|-----------------------------|-------|--|-----------------|
| pages | | of the request (PCT/RO/101) | pages | | of the figures |
| pages | | of the description | pages | | of the abstract |
| pages | | of the claims | | | |

- D. ☐ Submission of Priority Documents

| | | | |
|-------------------|--|-------------------|--|
| Priority document | | Priority Document | |
|-------------------|--|-------------------|--|

- E. ☐ Fees as specified on PCT/RO/102 (January 2003)

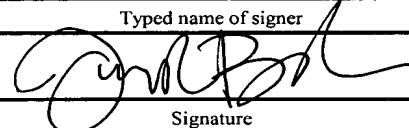
IV. ☐ A Request for Rectification under PCT Rule 91 ☐ A Petition ☐ A Sequence Listing Diskette

V. ☒ Other (please identify):

Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. 371 and enclosures.

The person signing
this form is the:

| |
|---|
| <input type="checkbox"/> Applicant |
| <input checked="" type="checkbox"/> Attorney/Agent (Reg. No.) 50,784 |
| <input type="checkbox"/> Common Representative |

| |
|--|
| Jennifer R. Bush |
| Typed name of signer |
|  |
| Signature |